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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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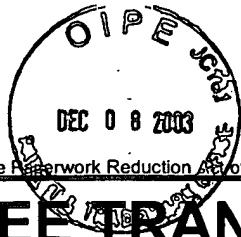
<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/619,153
	Filing Date	Jul 14, 2003
	First Named Inventor	DeTreville
	Group Art Unit	
	Examiner Name	
Total Number of Pages in This Submission	Attorney Docket Number	MS1-282USC12

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s) Sheets	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
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<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO Form 1449(6pgs); 13 cited references; return postcard
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<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Allan T. Sponseller, Reg. No. 38,318
Signature	
Date	12/3/03

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: 12/03/03	
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# FEE TRANSMITTAL

## for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 0.00

**Complete if Known**

Application Number	10/619,153
Filing Date	Jul 14, 2003
First Named Inventor	DeTreville
Examiner Name	
Art Unit	
Attorney Docket No.	MS1-282USC12

**METHOD OF PAYMENT** (check all that apply)☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit  
Account  
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12-0769

Lee &amp; Hayes, PLLC

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ ) 0.00

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

		Extra Claims		Fee from below		Fee Paid
Total Claims		-20** =		X		
Independent Claims		-3** =		X		
Multiple Dependent						

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 0.00

**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	Allan T. Sponseller	Registration No. (Attorney/Agent)	38,318	Telephone	(509) 324-9256
Signature		Date	12/3/03		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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1 IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2 Serial No. .... 10/619,153  
3 Filing Date ..... Jul 14, 2003  
4 Inventorship ..... DeTreville  
Applicant ..... Microsoft Corporation  
5 Attorney's Docket No. .... MS1-282USC12  
Title: Method And Apparatus For Authenticating An Open System Application To  
A Portable IC Device

7 **INFORMATION DISCLOSURE STATEMENT**


8 *References -- See Attached Form PTO-1449*

9 **REMARKS**

10 The citations listed, copies attached, are submitted in compliance with the  
11 duty of disclosure defined in 37 CFR §1.56. The Examiner is requested to make  
12 these citations of official record in this application.

13  
14 Respectfully Submitted,

15 Date: 12/3/03

16 By:   
Allan T. Sponseller  
17 Reg. No. 38,318

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Substitute for form 1449A/PTO			<b>Complete if Known</b>		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>			Application Number	10/619,153	
			Filing Date	7/14/2003	
			First Named Inventor	DeTreville	
			Group Art Unit	2131	
			Examiner Name		
Sheet	1	of	6	Attorney Docket Number	MS1-282USC12

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		4,827,508		Shear	05-02-1989	
		4,969,189		Ohta et al.	11-06-1990	
		4,977,594		Shear	12-11-1990	
		5,023,907		Johnson et al.	06-11-1991	
		5,050,213		Shear	09-17-1991	
		5,140,634		Guillou et al.	08-18-1992	
		5,276,311		Hennige	01-04-1994	
		5,335,334		Takahashi et al.	08-02-1994	
		5,410,598		Shear	04-25-1995	
		5,473,690		Grimonprez et al.	12-05-1995	
		5,473,692		Davis	12-05-1995	
		5,491,827		Holtey	02-13-1996	
		5,544,246		Mandelbaum et al.	08-06-1996	
		5,557,518		Rosen	09-17-1996	
		5,654,746		McMullan, Jr. et al.	08-05-1997	
		5,664,016		Preneel et al.	09-02-1997	
		5,671,280		Rosen	09-23-1997	
		5,721,781		Deo et al.	02-24-1998	
		5,745,886		Rosen	04-28-1998	
		5,757,919		Herbert et al.	05-26-1998	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
			GB 2260629		Hammond et al.	04-1993		
			EP695985		Misra et al.	02-1996		
			WO9938070		Carbajal et al.	07-1999		

Examiner Signature		Date Considered	
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<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>			
<b>Application Number</b>		10/619,153					
<b>Filing Date</b>		7/14/2003					
<b>First Named Inventor</b>		DeTreville					
<b>Group Art Unit</b>		2131					
<b>Examiner Name</b>							
<b>Attorney Docket Number</b>		MS1-282USC12					
<b>Sheet</b>		6		<b>of</b>		6	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		"Facing an Internet Security Minefield, Microsoft Hardens NT Server Defenses", Young R., Windows Watcher, 09/12/97, Vol. 7, Issue 9, p1, 6p, 1 chart.	
		"Phoenix Technologies Partners with Secure Computing in Enterprise Security Marketplace", July 12, 2001, Business Wire, Courtesy of Dialog Text Search, Pg. 1-2.	
		Murphy et al., "Preventing Piracy: Authorization Software May Ease Hollywood's Fear of the Net", Internet World Magazine, April 1, 2000, 3 pages.	
		"Internet Security: SanDisk Products and New Microsoft Technology Provide Copy Protected Music for Internet Music Player Market. (Product Announcement)", Edge: Work Group Computing Report, April 19, 1999, 2 pages.	
		Arbaugh et al., "A Secure and Reliable Bootstrap Architecture", Distributed Systems Laboratory, Philadelphia, PA, 1997, pp. 65-71.	
		Lampson et al., "Authentication in Distributed Systems: Theory and Practice", Digital Equipment Corporation, ACM Transactions on Computer Systems, Vol. 10, No. 4, November 1992, pp. 265-310.	
		Clark et al., "Bits: A Smartcard Protected Operating System", Communications of the ACM, Vol. 37, No. 11, November 1994, pp. 66-70, 94.	
		Yee, "Using Secure Coprocessors", School of Computer Science, Carnegie Mellon University, 1994, 104 pgs.	
		Abadi et al., "Authentication and Delegation with Smart-cards", July 30, 1992, 30 pgs.	
		Schneier, B., "Applied Cryptography", Applied Cryptography. Protocols, Algorithms, and Source Code in C, 1996, pp. 574-577.	

<b>Examiner Signature</b>		<b>Date Considered</b>	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 2 of 6

**Complet if Kn wn**

<b>Application Number</b>	10/619,153
<b>Filing Date</b>	Jul 14, 2003
<b>First Named Inventor</b>	DeTreville
<b>Group Art Unit</b>	
<b>Examiner Name</b>	
<b>Attorney Docket Number</b>	MS1-282USC12

## U.S. PATENT DOCUMENTS

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		5,796,824		Hasebe et al.	08-18-1998	
		5,812,662		Hsu et al.	09-22-1998	
		5,812,980		Asai	09-22-1998	
		5,841,869		Merklin et al.	11-24-1998	
		5,872,847		Boyle et al.	02-16-1999	
		5,892,900		Ginter et al.	04-06-1999	
		5,892,902		Clark	04-06-1999	
		5,892,904		Atkinson et al.	04-06-1999	
		5,910,987		Ginter et al.	06-08-1999	
		5,915,019		Ginter et al.	06-22-1999	
		5,917,912		Ginter et al.	06-29-1999	
		5,920,861		Hall et al.	07-06-1999	
		5,919,257		Trostle	07-06-1999	
		5,933,498		Schneck et al.	08-03-1999	
		5,940,504		Griswold	08-17-1999	
		5,943,422		Van Wie et al.	08-24-1999	
		5,944,821		Angelo	08-31-1999	
		5,949,876		Ginter et al.	09-07-1999	
		5,953,502		Helbig, Sr.	09-14-1999	
		5,958,050		Griffin et al.	09-28-1999	

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner  
Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO			<b>Complete if Known</b>		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>			Application Number	10/619,153	
			Filing Date	Jul 14, 2003	
			First Named Inventor	DeTreville	
			Group Art Unit		
			Examiner Name		
Sheet	3	of	6	Attorney Docket Number	MS1-282USC12

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		5,963,980		Coulter et al.	10-05-1999	
		5,982,891		Ginter et al.	11-09-1999	
		5,991,399		Graunke et al.	11-23-1999	
		5,991,876		Johnson et al.	11-23-1999	
		6,006,332		Rabne et al.	12-21-1999	
		6,009,274		Fletcher et al.	12-28-1999	
		6,009,401		Horstmann	12-28-1999	
		6,026,166		LeBourgeois	02-15-2000	
		6,032,257		Olariu et al.	02-29-2000	
		6,038,551		Barlow et al.	03-01-2000	
		6,073,124		Krishnan et al.	06-06-2000	
		6,092,189		Fisher et al.	07-18-2000	
		6,105,137		Graunke et al.	08-15-2000	
		6,112,181		Shear et al.	08-29-2000	
		6,118,873		Lotspeich et al.	09-12-2000	
		6,138,119		Hall et al.	10-24-2000	
		6,148,402		Campbell	11-14-2000	
		6,148,387		Galasso et al.	11-14-2000	
		6,157,721		Shear et al.	12-05-2000	
		6,175,917		Arrow et al.	01-16-2001	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

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<sup>1</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	4	of	6
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**Compleat if Known**

Application Number	10/619,153
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<b>Filing Date</b>	Jul 14, 2003
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First Named Inventor	DeTreville
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### Group Art Unit

**Examiner Name**

Attorney Docket Number	MS1-282USC12
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## U.S. PATENT DOCUMENTS

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		6,185,683		Ginter et al.	02-06-2001	
		6,185,678		Arbaugh et al.	02-06-2001	
		6,189,100		Barr et al.	02-13-2001	
		6,192,473		Ryan, Jr. et al.	02-20-2001	
		6,212,636		Boyle et al.	04-03-2001	
		6,223,284		Novoa et al.	04-24-2001	
		6,229,894		Van Oorschot et al.	05-08-2001	
		6,230,285		Sadowsky et al.	05-08-2001	
		6,237,786		Ginter et al.	05-29-2001	
		6,240,185		Van Wie et al.	05-29-2001	
		6,253,193		Ginter et al.	06-26-2001	
		6,263,431		Lovelace et al.	07-17-2001	
		6,272,629		Stewart	08-07-2001	
		6,292,569		Shear et al.	09-18-2001	
		6,327,652		England et al.	12-04-2001	
		6,330,588		Freeman	12-11-2001	
		6,338,139		Ando et al.	01-08-2002	
		6,341,373		Shaw	01-22-2002	
		6,363,486		Knapton, III	03-26-2002	
		6,363,488		Ginter et al.	03-26-2002	

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner  
Signature

Date	
Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Sheet	5	of	6
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<b>Application Number</b>	10/619,153
<b>Filing Date</b>	Jul 14, 2003
<b>First Named Inventor</b>	DeTreville
Group Art Unit	
Examiner Name	
Attorney Docket Number	MS1-282USC12

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
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[illegible]

Date	
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